

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Fabrice DEVAUX, et al.

Attorney Docket No. Q68526

Appln. No. 10/074,023

Group Art Unit: 2874

Confirmation No.: 5637

Examiner: Unknown

Filed: February 14, 2002

For:

MONOLITHIC INTEGRATED OPTICAL COMPONENT INCLUDING A

MODULATOR AND A HETEROJUNCTION BIPOLAR TRANSISTOR

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §§ 1.97 and 1.98

Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicants hereby notify the U.S. Patent and Trademark Office of the documents which are listed on the attached Form PTO-1449 and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

One copy of each of the listed documents is submitted herewith.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date for an application other than a continued prosecution application (CPA) under §1.53(d); (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

PTO/SB/08 A & B (modified) Complete if Known Substitute for form 1449 A & B/PTO **Application Number** 10/074,023 INFORMATION DISCLOSURE Confirmation Number 5637 Filing Date February 14, 2002 STATEMENT BY APPLICANT First Named Inventor Fabrice DEVAUX Art Unit 2874 (use as many sheets as necessary) Examiner Name Unknown Sheet of Attorney Docket Number Q68526

| U.S. PATENT DOCUMENTS | | | | | | | |
|-----------------------|--------------|----------|-----------------------------------|--------------------------------|---|--|--|
| Examiner Initials* | Cite No.1 | Document | Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | | |
| | | Number | Kind Code ² (if known) | | | | |
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| FOREIGN PATENT DOCUMENTS | | | | | | | | |
|--------------------------|--------------|------------------------------|-----------|-----------------------------------|------------------|-----------------------------|--------------------------|--|
| Examiner Initials* | Cite No.1 | Foreign Patent Document | | | Publication Date | Name of Patentee or | | |
| | | Country Code ³ | Number⁴ | Kind Code ⁵ (if known) | MM-DD-YYYY | Applicant of Cited Document | Translation ⁶ | |
| | | FR | 2 663 161 | A1 | 12-13-1991 | Thomson CSF | No | |
| | | FR | 2 768 524 | A1 | 3-19-1999 | France Telecom | No | |
| | | JР | 58 151087 | A | 9-8-1983 | Nippon Telegr & Teleph Corp | W/English Abstract | |
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| Examiner Initials* | Cite No.1 | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published. | Translation ⁶ |
|-----------------------|--------------|--|--------------------------|
| | | YU-HENG JAN et al.: "Vertical Monolithic Integration of a GAAS/ALGAAS V-Channeled Substrate Inner Stripe Laser Diode and A Heterojunction Bipolar Transistor" Applied Physics Letters, American Institute of Physics.New York, US, vol. 57, no. 26, December 24, 1990, pages 2750 - 2752 | Yes |
| | | YOSHITAKA OKADA ET AL: "Optical Intensity Modulator for Integrated Optics by use of a Heterojuntion Bipolar Transistor Waveguide Structure" Applied Physics Letters, American Institute of Physics. New York, US, vol. 55, no. 25, December 18, 1989, pages 2591-2593, XP000126806. | Yes |
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| Examiner Signature | | Date Cons | idered | |

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov, MPEP 901.04 or in the comment box of this document. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to indicate here if English language Translation is attached.

INFORMATION DISCLOSURE STATEMENT U.S. Appln. No. 10/074,023

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicants enclose herewith a copy of a Communication from a Foreign Patent Office in a counterpart application citing such documents, together with an English-language version (if not already included) of that portion of the Communication indicating the degree of relevance found by the foreign office.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Respectfully submitted,

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